

DFW



Attorney Docket No. 15895US01

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In the Application of:

James C. Peterson

Serial No.: 10/620,960

Filed: July 16, 2003

For: METHOD AND SYSTEM FOR  
STRONGLY ENCRYPTING .ZIP  
FILES

Examiner: Not yet assigned

Confirmation No. 9989

Group Art Unit: 2131

**CERTIFICATE OF MAILING**

I hereby certify that this correspondence is  
being deposited with the United States Postal  
Service as first class mail in an envelope  
addressed to: Mail Stop Amendment,  
Commissioner for Patents, P.O. Box 1450,  
Alexandria, VA 22313-1450 on

*January 6, 2005*  
*Joseph M. Barich*  
Joseph M. Barich  
Reg. No. 42,291

**TRANSMITTAL OF INFORMATION DISCLOSURE  
STATEMENT AFTER APPLICATION FILING DATE**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Dear Sir:

Enclosed are the following:

- \* A completed PTO form 1449 (modified) which has two (2) pages.
- \* A copy of each printed or patented reference listed in the enclosed form 1449 and not previously provided to or by the PTO in this application. Eight (8) references are enclosed.
- \* A copy of the European Search Report for the European application, No. 04254277 corresponding to the parent of the above application.

## FEE DETERMINATION

\* No fee is believed to be due because:

\* In accordance with 37 CFR §1.97(e), each item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign patent application not more than three months prior to the filing of this statement.

## FEE PAYMENT

The following arrangements have been made to pay the fees calculated above:

\* No fee is believed to be due.

The Commissioner is hereby authorized to charge any additional fees which are presently required, or credit any overpayment, to Deposit Account No. 13-0017.

## REQUEST FOR CONSIDERATION

This paper and enclosures are believed to be entitled to consideration under 37 C.F.R. § 1.97, based on the facts stated above.

This submission is in no way intended as an admission that the cited references constitute prior art under any subsection of 35 U.S.C. § 102 or §103. Applicant expressly retains the right to argue that any of the cited references are not indeed prior art or to take any actions necessary to remove any of the cited references from the available prior art.

The Examiner is requested to initial both copies of the enclosed PTO-1449 (modified) and return one copy to the applicants to indicate consideration of the enclosed references.

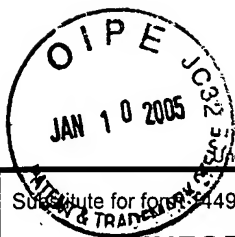
Respectfully submitted,

Date:

January 6, 2005

Joseph M. Barich  
Joseph M. Barich  
Reg. No. 42,291

McAndrews, Held & Malloy  
500 West Madison Street, Suite 3400  
Chicago, Illinois 60661  
(312) 775-8000



Supplement for form 1449A/PTO

**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

(use as many sheets as necessary)

Sheet 1 of 2

**Complete if Known**

Application Number	10/620,960
Filing Date	7/16/2003
First Named Inventor	James C. Peterson
Group Art Unit	2131
Examiner Name	Not yet assigned
Attorney Docket Number	15895US01

**U.S. PATENT DOCUMENTS**

Examiner Initial*	Cite No. <sup>1</sup>	Document Number Number-Kind Code <sup>2</sup> (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
	A1				
	A2				
	A3				
	A4				
	A5				
	A6				
	A7				
	A8				
	A9				
	A10				
	A11				
	A12				

**FOREIGN PATENT DOCUMENTS**

Examiner Initials*	Cite No. <sup>1</sup>	Foreign Patent Document Country Code <sup>3</sup> -Number <sup>4</sup> -Kind Code <sup>5</sup> (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T <sup>6</sup>
	A13					
	A14					
	A15					
	A16					
	A17					

**OTHER ART -- NON PATENT LITERATURE DOCUMENTS**

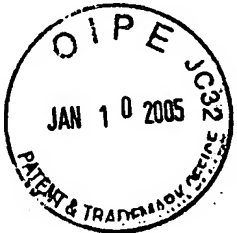
Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published
	A18	WINZIP COMPUTING, Inc. "AES Encryption Information", Internet Article, Online ! 5-15-2003, XP002296117, retrieved from the Internet : URL: <a href="http://web.archive.org/web/20030618094654/http://www.winzip.com/aes_info.htm">http://web.archive.org/web/20030618094654/http://www.winzip.com/aes_info.htm</a> > retrieved on 9-9-2004

EXAMINER SIGNATURE	DATE CONSIDERED
-----------------------	-----------------

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. <sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard St. 16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450 Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. Send TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 (1800-786-9199) and select option 2.

Substitute for form 1449A/PTO  <b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  <i>(use as many sheets as necessary)</i>  				<b>Complete if Known</b>	
				Application Number	Error! Reference source not found.
				Filing Date	Error! Reference source not found.
				First Named Inventor	Error! Reference source not found.
				Group Art Unit	Error! Reference source not found.
				Examiner Name	Error! Reference source not found.
				Attorney Docket Number	Error! Reference source not found.
Sheet	2	Of	2		

OTHER ART -- NON PATENT LITERATURE DOCUMENTS		
Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published
	A19	JOHN LEYDEN: "Zip File Encryption Compromise Thrashed Out", Internet Article, Online! 1-21-2004, XP002296118 retrieved from the Internet: URL: <a href="http://www.theregister.co.uk/2004/01/21/zip_file_encryption_compromise_thrashed/">http://www.theregister.co.uk/2004/01/21/zip_file_encryption_compromise_thrashed/</a>
	A20	PRESS RELEASE PKWARE: "PKWare releases New ZIP Format Specification", Internet Article, Online! December 2001, XP002296119 retrieved from the Internet on 9-8-2004, URL: <a href="http://www.pkware.com/news/releases/2001/120501.php">http://www.pkware.com/news/releases/2001/120501.php</a>
	A21	ZIV J ET AL: "A Universal Algorithm for Sequential Data Compression", IEEE Transactions on Information Theory, IEEE Inc. New York, US, vol. 23, no. 3, 1977, pages 337-343, XP002911734 ISSN: 0018-9448
	A22	ZIV J ET AL: "Compression of Individual Sequences Via Variable-Rate Coding", IEEE Transactions on Information Theory, IEEE Inc. New York, US, vol. IT-24, no. 5, September 1978, pages 530-536, XP000565213
	A23	BRAY N: "How Digital Certificates Work", Computers & Security, Elsevier Science Publishers, Amsterdam, NL, vol. 16, no. 1, 1997, page 62, XP004063818 ISSN: 0167-4048
	A24	MARK NELSON, DR. DOBBS JOURNAL: "LZW Data Compression", Internet Article, Online! October 1989, XP002296120 retrieved from the Internet on 9-13-2004: URL: <a href="http://www.dogma.net/markn/articles/lzw/lzw.htm">http://www.dogma.net/markn/articles/lzw/lzw.htm</a>
	A25	PKWARE: "Appnote.txt- .zip file format specification", Internet Article, Online! 1-11-2001, XP002296121 retrieved from the Internet on 9-13-2004: URL: <a href="http://www.the7soft.com/file-formats/file-formats-Archivers/zip45.zip">http://www.the7soft.com/file-formats/file-formats-Archivers/zip45.zip</a>

EXAMINER	DATE CONSIDERED
----------	-----------------

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup>Applicant's unique citation designation number (optional). <sup>2</sup>See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup>Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup>For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup>Kind of document by the appropriate symbols as indicated on the document under WIPO Standard St. 16 if possible. <sup>6</sup>Applicant is to place a check mark here if English language Translation is attached.